

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Youhei SAKAI

Serial No: Not Assigned

Filed: September 29, 2006

For: Silicon Casting Apparatus and  
Method of Producing Silicon Ingot

Art Unit: Not Assigned

Examiner: Not Assigned

TRANSMITTAL OF  
INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sirs:

- The information disclosure statement submitted herewith is being filed within three months of the filing date of the application other than a continued prosecution application, or within three months of the date of entry into the national stage of an international application, or before the mailing date of a first Office Action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under §1.114, whichever event occurs last. 37 C.F.R. §1.97(b).
- The information disclosure statement transmitted herewith is being filed *after* the period specified in §1.97(b), but *before* the mailing date of a final action under §1.113, or a notice of allowance under §1.311, or an action that otherwise closes prosecution in the application, whichever occurs first. A statement specified in §1.97(e) or a fee set forth in §1.17(p) is included. 37 C.F.R. §1.97(c).

**§1.97(e) STATEMENT**

I, the person signing below, state:

that each item of information contained in the information disclosure statement was first cited in the attached communication from a foreign patent office in a counterpart foreign application and that the communication is dated not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).

**OR**

that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in

§1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).

## OR FEE

Attached is a fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(c). (\$180.00). [OR:] Please charge the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(c) (\$180.00) to Deposit Account No. 50-1314. A copy of this petition is enclosed.

3.  The information disclosure statement transmitted herewith is being filed *after* the period specified in §1.97(c), but before, or simultaneously with the payment of the issue fee. A statement specified in §1.97(e) and a fee set forth in §1.17(p) are included. 37 C.F.R. §1.97(d).

**§1.97(e) STATEMENT**

I, the person signing below, state:

that each item of information contained in the information disclosure statement was first cited in the attached communication from a foreign patent office in a counterpart foreign application and that the communication is dated not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).

OR

that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).

## AND FEE

Attached is a fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(d). (\$180.00).

4.  If it should be determined that for any reason either an insufficient fee or an excessive has been paid, please charge any insufficiency or credit any overpayment necessary to ensure consideration of the information disclosure statement for the above-identified application to Deposit Account No. 50-1314. **A copy of this petition is enclosed.**

5.  A list of 10 reference(s) is in the enclosed Form PTO-1449.

## NON-ENGLISH LANGUAGE REFERENCES

- Enclosed is a Non-English language search report for a counterpart application.
- Applicant provides machine translations of Japan Patent Publication Nos. 09-071497, 2002-293526 and 2002-292458 as a matter of courtesy. The translations have not been reviewed for accuracy.
- Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references: N/A

Respectfully submitted,  
HOGAN & HARTSON L.L.P.

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FORM PTO-1449		Docket Number (Optional) 81872.0129		Application Number Not Assigned	
INFORMATION DISCLOSURE CITATION IN AN APPLICATION		Applicant Youhei SAKAI			
(Use several sheets if necessary)		Filing Date September 29, 2006		Group Art Unit Not Assigned	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6136091 (Corresponds to Japan Publication No. 11-011924)	10/24/00	Yamazaki et al	117	081	
	6383285 (Corresponds to Japan Publication No. 2001-010810)	05/07/02	Wakita et al	117	011	
	2002/0139297 (Corresponds to Japan Publication No. 2001-010810)	10/03/02	Wakita et al	117	206	

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
	11-011924 (Corresponds to U.S. Patent No. 6136091)	01/19/99	JAPAN				X
	09-071497	03/18/97	JAPAN			X	
	2002-293526	10/09/02	JAPAN			X	
	2001-010810 (Corresponds to U.S. Patent 6383285 and U.S. Published Application No. 2002/0139297)	01/16/01	JAPAN				X
	04-088276 (Corresponds to Japan Publication No. 63-166711)	10/30/92	JAPAN				X
	63-166711 (Corresponds to Japan Examined Application No. 04-068276)	07/09/88	JAPAN			X	
	2002-292458	10/08/02	JAPAN			X	

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER /Timothy Heitbrink/ (09/24/2010)	DATE CONSIDERED 09/24/2010
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.